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THE BIBLIOGRAPHIC ELEMENTS OF DD FORM 1473 AND OCLC MARC TAGS F--ETC(U)

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Report DCA 100-76-C-0067-R-1

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THE BIBLIOGRAPHIC ELEMENTS OF DD FORM 1473 AND OCLC MARC TAGS FOR MONOGRAPHS
A Report on their Compatibility for Cataloging Technical Reports in the
Ohio College Library Center Time Shared Cataloging System

Now
410270



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March 1977

Approved for Public Release; Distribution Unlimited.

Prepared for:

Defense Communications Agency Library
8th Street and South Courthouse Road
Arlington, VA 22204

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DDO	<input type="checkbox"/> Buff Section	
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REPORT DOCUMENTATION PAGE		READ INSTRUCTIONS BEFORE COMPLETING FORM
1. REPORT NUMBER DCA-100-76-C-0067-R-1	2. GOVT ACCESSION NO.	3. RECIPIENT'S CATALOG NUMBER
4. TITLE (and Subtitle) THE BIBLIOGRAPHIC ELEMENTS OF DD FORM 1473 AND OCLC MARC TAGS FOR MONOGRAPHS; a Report on their Compatibility for Cataloging Technical Reports in the Ohio College Library Center Time Shared Cataloging System.		5. TYPE OF REPORT & PERIOD COVERED Technical, Oct 7 1976-Feb 1977, Rept.
7. AUTHOR(s) Cloyd Dale Gull	6. PERFORMING ORG. REPORT NUMBER	
9. PERFORMING ORGANIZATION NAME AND ADDRESS (Cloyd Dale) Gull and Associates, Inc. 4200 Dresden Street Kensington, MD 20795		10. PROGRAM ELEMENT, PROJECT, TASK AREA & WORK UNIT NUMBERS
11. CONTROLLING OFFICE NAME AND ADDRESS Defense Communications Agency Code 205 Washington, DC 20305		12. REPORT DATE Mar 1977
14. MONITORING AGENCY NAME & ADDRESS (if different from Controlling Office)		13. NUMBER OF PAGES 15 (1225p.)
16. DISTRIBUTION STATEMENT (of this Report) Approved for Public Distribution; Distribution Unlimited.		
17. DISTRIBUTION STATEMENT (of the abstract entered in Block 20, if different from Report)		
18. SUPPLEMENTARY NOTES		
19. KEY WORDS (Continue on reverse side if necessary and identify by block number) Cataloging MARC tags Technical reports the article		
20. ABSTRACT (Continue on reverse side if necessary and identify by block number) Reports that MARC tags designed for bibliographic elements of monographs under Anglo-American Cataloging Rules can be used, with modifications, for bibliographic elements of technical reports on DD Form 1473, if the UNKNOWN designation is used when catalog entries are input to the OCLC system. Includes tables showing rationale and application of tags in two orders: MARC tags to DD 1473 box numbers, and the reverse, DD 1473 numbers to MARC tags. Because OCLC has announced that the UNKNOWN designation will be dropped, and because a Working Group has been established to choose MARC tags for		

20. ABSTRACT, continued.

technical reports cataloged by COSATI rules (including the use of the DD 1473),
a report must be considered an initial step in a broader effort to include
technical reports in time shared cataloging systems.

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INTRODUCTION

The Defense Communications Agency Library is a member of the FEDLINK network of the Ohio College Library Center time shared cataloging network system. It uses the OCLC 100 terminal and an IBM Selectric typewriter as the printer. It catalogs monographs, serials and series main entries, and analytic entries using the OCLC system.

The library has a collection of technical reports prepared by DCA staff members and by DCA contractors. Many of the reports, perhaps 50 o/o, are not in the bibliographic records of the Defense Documentation Center and/or the National Technical Information Service; nor are catalog cards, book catalogs, or magnetic tapes readily obtainable for the DCA technical reports which are recorded by them.

The commanding officer of DCA has directed the librarian to place all of the DCA staff and contractor prepared reports under catalog control.

The librarian asked this company as part of contract DCA-100-76-C-0067 to investigate the possibility of assigning OCLC MARC (Machine Readable Cataloging) tags to the bibliographic elements of DD Form 1473, the Report Documentation Page which is required as an insert for all technical reports prepared by or for DCA. This report is submitted in response to the request, which was made early in October 1976.

At that time some other libraries in FEDLINK were inputting bibliographic data to OCLC through their terminals to secure catalog cards and records on an archival tape, or to secure records on tape without cards, through procedures which used the UNKNOWN designation in the OCLC record number position. Since no bibliographic data was entered and

Transmittal format - Common programs

stored in the OCLC data base by using these procedures, there was no need for strict compliance with the OCLC or MARC requirements. The objective at DCA was to obtain catalog cards for technical reports which would file easily with cards for books, and to obtain tape records for technical reports which could be used with tape records for books in the computer printouts for the seven different catalogs (or ^{file} inversions) in book form.

Late in January 1977 information was received from FEDLINK which casts doubt on the possibility of achieving the original objective. The collective archival tape for FEDLINK must be processed to provide tapes for individual libraries, at a cost and on a schedule not yet determined. Furthermore, OCLC has announced that the UNKNOWN procedures will be dropped soon from the system capabilities.

This report would appear to be an academic exercise but for another event in January. Other librarians in FEDLINK with similar needs wish to enter COSATI-style cataloging for technical reports (including the DD 1473 records) into their OCLC card and/or tape formats. ~~As a result of this interest~~ A Working Group on Journal Articles and Technical Reports Formats has been established, sponsored by the Council on Library Resources; and the members are already at work on the problems of assigning MARC tags to the elements of technical reports from the viewpoint of common usage in the MARC system. Unisist -

Consequently this report should be considered only as an initial step in a broader effort which will be carried forward under other auspices.

DIFFERENCES IN CATALOGING SYSTEMS

The OCLC system is based on Library of Congress MARC II cataloging, which is the most universal standard for bibliographic communication. MARC II cataloging is based on the Anglo-American Cataloging Rules, North American edition, for the choice and form of entries and headings

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and for the description of the books and other materials; and while oriented toward LC classification and subject headings, it accommodates other systems as well.

DD 1473 cataloging is based, more loosely, on the COSATI (Committee for Scientific and Technical Information) rules for cataloging technical reports. While there are philosophical differences in the rules for OCLC MARC and for DD 1473, especially in the forms of corporate entry, and while the COSATI rules use some bibliographic elements which are not found in the AACR, the similarities exceed the differences. There are significant differences in the application or potential application of the rules and practices. MARC cataloging is done by professional catalogers and provides a coherent, uniform product within reasonable limits of human error. The DD 1473 forms are filled out by the performing organizations, that is, by amateurs in regards to cataloging. They follow one page of rules for filling out DD 1473 and never see the COSATI rules. When the entries from many 1473's are assembled together as card catalogs or as catalogs in book form, there is no uniformity or coherence to the result. This result argues that the cataloging of technical reports should be done from the reports themselves as well as from the information on the DD 1473's.

SOURCES FOR THE BIBLIOGRAPHIC ELEMENTS

MARC cataloging is done from the work in hand, and increasingly in recent years by reference also to the CIP (cataloging in publication) entry printed in the book by the publisher from cataloging copy prepared by the Library of Congress. If there is a conflict in an element from the two sources, the element is used which is supported by reference to the work itself.

Some technical reports are republished as articles in serials or as trade publications, or published originally in these formats and never in the technical report format. In some cases the DD 1473 is inserted in the publication, but not in other cases. If a publication is seen to be a technical report and if there is no DD 1473, then the 1473 should be filled out for it, to assure that the entry can be used in the technical report catalog as well as in the catalog for books.

TECHNICAL REPORTS AND THE RECORDS IN THE OCLC DATA BASE

Technical reports are eligible for input to the data base of the OCLC system if they are cataloged by AACR NA ed. and if MARC II tags are used, i. e., if the cataloging is done from the piece and not from the information on DD 1473. Information contained on DD 1473 and not found in the piece may be added in brackets to the OCLC catalog entry.

TECHNICAL REPORTS EXCLUDED FROM THE OCLC DATA BASE

The OCLC system permits users to prepare catalog entries without entering them into the OCLC data base, and to receive the entries on the users' archival magnetic tapes and/or to receive the entries as catalog cards. This service requires that UNKNOWN appear in the OCLC number position before the commands of PRODUCE, SEND are keyed in.

There are two ways to obtain the UNKNOWN designation:

1. Search the data base. If a suitable record is found, key in new, DISPLAY, SEND in the home position. Modify the NEW record; key in save, SEND. After save is acknowledged, key in rf (reformat), DISPLAY, SEND. The record will be designated UNKNOWN. Then key UPDATE, SEND to obtain the record on the magnetic tape, or PRODUCE, SEND to obtain catalog cards and the record on the magnetic tape.
2. Search the data base. If no suitable record is found, key in wf

(work form), DISPLAY, SEND. The work form will carry the NEW designation on the screen. Input the text, tag by tag, and follow the directions above, starting with "key in save, SEND."

PROBLEMS OF DIFFERENT MEANINGS FOR EXISTING TAGS

Although there is an ample supply of numbers for MARC tags, indicators and subfield codes, the numbers not used by the OCLC system cannot be assigned to the DD 1473 needs carelessly, because some are reserved for MARC serials tags and others are not accepted by the OCLC programs. The result is that new meanings have to be assigned for existing tags, or the meanings have to be skewed to accommodate bibliographic elements of the technical reports. The changes do not affect the cards in the DCA library catalogs because the filers make the necessary adjustments as they file card by card. The problems are more complicated in writing the program specifications for printing out the DCA library catalogs in book form. The solution suggested by Ms. Lillian Washington of FEDLINK, Federal Library Committee, Library of Congress, is the use of n in the fixed field for the Govt. Publ. position to identify technical reports. The precise meaning of n here is "undetermined". For example, n plus tag 440 will put the entry in the Report Number Catalog while the absence of n plus 440 will put the text in the Title Catalog.

RATIONALE FOR MARC TAGS FOR DD 1473 BOXES

There are some mutually contradictory objectives to satisfy in choosing MARC tags for the 21 numbered boxes for the Bibliographic elements on DD 1473.

1. Find a corresponding MARC tag for each box. This could not be done for about eight boxes.
2. Assign MARC tags which will provide access points for the elements

which must be searchable in the card catalogs. This was done except for contract and grant numbers.

3. Assign MARC tags which will permit the printout of these catalogs in book form:

Names
Subjects
Titles
Report Numbers
KWOC (Key Word out of Context) List
Accession List
Shelf List.

This was done by adding n in the fixed field for the Govt. Publ. position.

TABLE OF DD 1473 BOXES

The following table shows the DD 1473 Box Numbers in order (plus four added to meet the DCA library's needs. It serves as an index to the Table of MARC Tags for Use with DD 1473, in which the rationale is given for the choices.

Box No.	DD 1473 Meaning	MARC Tag	OCLC SYSTEM Meaning
0	UNKNOWN	---	UNKNOWN
1	Report Number (by Performing Organization)	440	Series Title Traced Same
2	Government Accession Number (A DDC Number)	440	Series Title Traced Same
3	Recipient's Catalog Number (DCA Library Shelf Number)	099	Local Call Number
4	Title (and Subtitle)	245 0	Title Main Entry
		245 1	Title Traced from Title omit +c Statement
		130	Uniform Title Main Entry
		440	Series Title Traced Same
		730	Uniform Title Added Entry
		740	Title Traced Differently from 245 1

Box No.	DD 1473 Meaning	MARC Tag	OCLC SYSTEM Meaning
4	Title (and Subtitle) cont.	840	Series Title Added Entry.
5	Type of Report and Period Covered	490 0	Series Statement not Traced
6	Performing Organization Report No. (not same as in Box 1)	440	Series Title Traced Same
7	Author(s)	700	Personal Author Added Entry
		100	Personal Author Main Entry
8	Contract or Grant Number	500	General Note
9	Performing Organization Name and Address	110 +g 111 +g 100 +e	Corporate Author Main Entry Conference, etc. Main Entry Personal Author Main Entry
10	Program Element, Project, etc.	240	Supplied Title
11	Controlling Office Name and Address	710 +g 711 +g	Corporate Author Added Entry Conference, etc. Added Entry
12	Report Date	260 0 +c	Imprint Date
13	Number of Pages	300	Collation
14	Monitoring Office Name and Address (if different from 11)	710 +g 711 +g	Corporate Author Added Entry Conference, etc. Added Entry
15	Security Classification of Report	500	General Note
15a	Declassification/Downgrading Schedule	500	General Note
16	Distribution Statement of Report	265	Serial Birth Date (from L. Washington)
17	Distribution Statement of Abstract in Box 20	590	Local Note
18	Supplementary Notes	500 502 504 505	General Note Dissertation Note Bibliography Note Contents Note

Box No.	DD 1473 Meaning	MARC Tag	OCLC SYSTEM Meaning
19	Key Words	651 0	LC Geographic Subject Headings
		690	Local Topical Subject Headings
20	Abstract	520	Abstract or Annotation
21	Security Classification of this Page (= Entry)	590	Local Note
22	DCA LC Call Number	090	Local LC Call Number
23	DCA Accession Number	910	User Option Data

See the copy of DD 1473 on page 7.1 showing the tag numbers in the boxes.

The Table of MARC Tags for Use with DD 1473, on pages 8 through 12, provides the rationale for choosing the MARC tags for the boxes on DD 1473 and their application at the OCLC 100 Terminal.

21, 590
SECURITY CLASSIFICATION OF THIS PAGE (When Data Entered)

OCLC MARC TAGS FOR TECHNICAL REPORTS

Draft by C. D. Gull, Dec. 15, 1976

REPORT DOCUMENTATION PAGE		READ INSTRUCTIONS BEFORE COMPLETING FORM
1. REPORT NUMBER 440	2. GOVT ACCESSION NO. 440	3. RECIPIENT'S CATALOG NUMBER 099
4. TITLE (and Subtitle) 245 1 (but omit author statement after +c) OR 130 OR 245 0 OR 440 OR 730 OR 740 OR 840		5. TYPE OF REPORT & PERIOD COVERED 490 0
		6. PERFORMING ORG. REPORT NUMBER 440
7. AUTHOR(s) 700 (preferable) OR 100		8. CONTRACT OR GRANT NUMBER(s) 500
9. PERFORMING ORGANIZATION NAME AND ADDRESS 110 OR 111 (both preferable) OR 100 (use +g for address [city, state, zip code,])		10. PROGRAM ELEMENT, PROJECT, TASK AREA & WORK UNIT NUMBERS 240
11. CONTROLLING OFFICE NAME AND ADDRESS 710 OR 711 (use +g for address)		12. REPORT DATE 260 0 (use +c only)
		13. NUMBER OF PAGES 300
14. MONITORING AGENCY NAME & ADDRESS (if different from Controlling Office) 710 OR 711 (use +g for address)		15. SECURITY CLASS. (of this report) 500
		15a. DECLASSIFICATION/DOWNGRADING SCHEDULE 500
16. DISTRIBUTION STATEMENT (of this Report) 265		
17. DISTRIBUTION STATEMENT (of the abstract entered in Block 20, if different from Report) 590		
18. SUPPLEMENTARY NOTES 500 502 504 505		
19. KEY WORDS (Continue on reverse side if necessary and identify by block number) 651 0 690		
20. ABSTRACT (Continue on reverse side if necessary and identify by block number) 520		
22, 030 DCA LC call no. 23, 910 DCA Accession no.		
N.B. Always enter n in Fixed Field for Govt. Publ., meaning undetermined. N.B. Since this data is ineligible for the OCLC data base, the screen must read UNKNOWN in the OCLC number position before UPDATE or PRODUCE, SEND keys are depressed.		

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TABLE OF MARC TAGS FOR USE WITH DD 1473

MARC Tag	OCNL SYSTEM Meaning	DD 1473 Box No.	Meaning	RATIONALE FOR CHOOSING MARC TAG
---	UNKNOWN	501	UNKNOWN	OCNL software governs this choice.
010	LC Card Number	None	None	Can be used if found in piece or on screen.
015	National Bibliography Number	None	None	Will not print on DCA cards.
020	International Standard Book Number	None	None	Will not print on DCA cards.
025	Overseas Acquisition Number	None	None	Will not print on DCA cards.
	International Standard Serial No.	None	None	Will not print on DCA cards.
040	Cataloging Source	None	Cataloging Source (Automatically Assigned)	Required to produce archival tape. Prints as DDCA and DWCC on catalog cards.
041	Languages	None	None	Will not print on DCA cards.
043	Geographic Areas	None	None	Will not print on DCA cards.
049	Holdings	None	None	This need is satisfied in 910, or Box 523.
050	LC Call Number	None	None	Will not print on DCA cards.
090	DCA LC Call Number	522	DCA LC Call Number	This will be assigned for technical reports published in the regular book trade.
099	Local Call Number	3	DCA Shelf Number	This will provide output for the Technical Report part of the Shelf List, rather than shelving by Accession Number.

2

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TAGS FOR USE WITH DD 1473

Meaning

RATIONALE FOR CHOOSING MARC TAG

APPLICATION OF MARC TAGS AT THE TERMINAL

OCLC software governs this choice.

UNKNOWN and n in Govt Publ position must be shown before UPDATE or PRODUCE, SEND etc keyed.
Input LC Card Number.

Can be used if found in piece or on screen.

Do not input these numbers.

Will not print on DCA cards.

Do not input; it is assigned by OCLC System.

Will not print on DCA cards.

Do not input.

Will not print on DCA cards.

Do not input. If found in a trade publication of a technical report, use as a guide for 090, or Box 123.

ing Source (Automatically
d) Required to produce archival tape.
Prints as DDCA and DFGG on catalog
cards.

Will not print on DCA cards.

Put first copy in Technical Report Collection using 099 tag and second copy in Book Collection using 090 tag.

Will not print on DCA cards.

Input DCA Shelf Number.

This need is satisfied in 910,
or Box 123.

Will not print on DCA cards.

Call Number

This will be assigned for technical
reports published in the regular
book trade.

Shelf Number

This will provide output for the
Technical Report part of the Shelf
List, rather than shelving by
Accession Number.

MARC Tag	OCLC SYSTEM Meaning	Box No.	DD 1473 Meaning	RATIONALE FOR CHOOSING MARC TA
100 \$1	Personal Author Main Entry	7	Author(s)	
		9	Performing Organization Name and Address	Causes for contractor who performs individual.
110 \$1	Corporate Author Main Entry	9	Performing Organization Name and Address	This is the most common form of main entry.
111 \$1	Conference, etc., Main Entry	9	Performing Organization Name and Address	This is a much less common form of main entry.
130	Uniform Title Main Entry	4	Title (and Subtitle)	This would be a most unusual match.
240	Supplied Title	10	Program Element, Project, Task Area & Work Unit Numbers	Since a title need not be supplied, 240 can be used for Box 10.
241	Romanized Title		None Will Not Print on Cards.	Do not use.
245 \$0	Title Main Entry	4	Title (and Subtitle)	This would be an unusual match.
245 \$1	Title Traced Same	4	Title (and Subtitle)	Exact match.
250	Edition		None	Fills a lack in DD 1473 Boxes.
260	Imprint	12	Report Date	260 \$0 is exact match.
265	Beginning Date of Serial	16	Distribution Statement of Report Available for use, according to Washington of FEDLINK.	
300	Collation	13	Number of Pages	Exact match.
350	Bibliographic Price		None	Used in Shelf List.

DD 1473

Meaning

RATIONALE FOR CHOOSING MARC TAG

APPLICATION OF MARC TAGS AT THE TERMINAL

(s)
ming Organization Name
dressCares for contractor who performs as
individual.Assign this tag once per report. Input
surname first; use +g before address.ming Organization Name
dressThis is the most common form of
main entry.

Assign this tag once per report.

ming Organization Name
dressThis is a much less common form of
main entry.

Assign this tag once per report.

(and Subtitle)

This would be a most unusual match.

While this match should not occur, use
130 in case Boxes 7 and 9 are blank.Element, Project, Task
Work Unit NumbersSince a title need not be supplied,
240 can be used for Box 10.

Assign as many tags as needed.

t Print on Cards.

Do not use.

Do not use.

(and Subtitle)

This would be an unusual match.

While this match should not occur, use
245 0 in case Boxes 7 and 9 are blank.

nd Subtitle)

Exact match.

Do not use +c (author statement) as a sub-
field, because it is not needed when
Boxes 7 and/or 9 are filled out.

Fills a lack in DD 1473 Boxes.

Use if edition is given, as perhaps in
Boxes 4, 5, or 18.

Date

260 +c is exact match.

Use +c (date) only, omitting place and pub-
lisher, since they are given in Box 9.ution Statement of Report Available for use, according to L.
Washington of FEDLINK.

Assign this tag once per report.

of Pages

Exact match.

Assign this tag once per report.

Used in Shelf List.

Use if found on DD 1473.

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MARC Tag	OCNL SYSTEM Meaning	Box No.	DD 1473 Meaning	NOTIONAL FOR CHOOSING
400	Series Statement Personal Name Traced Same	None		
410	Series Statement Corporate Name Traced Same	None		
411	Conference, etc., Series State- ment Traced Same	None		
440	Series Statement Title Traced Same	1 Report Number 2 Government Accession Number 4 Title (and Subtitle) 6 Performing Organization Report Number		While this concept is not provided on DD 1473, it is found in a trade book or a technical report.
490 0	Series Statement Untraced	5 Type of Report & Period Covered		This tag is chosen because headings on catalog card the title usage will be
490 1	Series Statement Traced Differ- ently	None		Chosen because it prints collation and because 00 is excluded according to policy.
500	General Note	8 Contract or Grant Number(s) 15 Security Classification of Report 15a Declassification/Downgrading Schedule 18 Supplementary Notes		Probeable match.
502	Dissertation Note	18 Supplementary Notes		These are grouped as best probability for searching
504	Bibliography Note	18 Supplementary Notes		
505	Contents Note	18 Supplementary Notes		
520	Abstract	20 Abstract		Exact matches.
				Exact match.

2

port Number
overnment Accession Number
tle (and Subtitle)

erforming Organization Report
mber

pe of Report & Period Covered

ontract or Grant Number(s)

ecurity Classification of Report

eclassification/Downgrading
chedule

pplementary Notes

pplementary Notes

pplementary Notes

pplementary Notes

bstract

While this concept is not explicitly provided on DD 1473, it may be used if found in a trade book publication or a technical report.

This tag is chosen because it overprints headings on catalog cards and because the title usage will be very rare.

Chosen because it prints after the collation and because OCLC type of use is excluded according to DCA Library policy.

Probable match.

These are grouped as being of low probability for searching or printing.

Exact matches.

Exact match.

If used, input main entry, #t and title

Input once per tag.

Input once per tag.

If used for a trade publication, 490 1 must be accompanied by an 8- tag also.

Input as many as needed for Boxes 8 and 18 and once per report for Boxes 15 and 16.

Use if these appear in trade publications of technical reports.

Input as much text as possible within limit of 1096 characters.

MARC Tag	OCLOC SYSTEM Meaning	Box No.	DD 1473 Meaning	RATIONALE FOR CHOOSING MARC TAG
590	Local Note		17 Distribution Statement for Abstract t21, Security Classification for Entry	These are closely related
600	Personal Subject Tracing	None		
610	Corporate Subject Tracing	None		
611	Conference, etc., Subject Tracing	None		These may be assigned for tec reports published as trade bo
630	Uniform Title Subject Tracing	None		
650	0 LC Topical Subject Heading	None		
651	0 LC Geographic Subject Heading	19 Key Words		Partial matches.
690	Local Topical Subject Headings	19 Key Words		Exact matches.
691	Local Geographic Subject Headings	19 Key Words		
700	Personal Name Added Entry	7 Author(s)		Since COSATI rules emphasize t main entry is a corporate body cares for personal authors wit corporate body.
710	tg Corporate Name Added Entry	11 Controlling Office Name and Address 14 Monitoring Agency Name and Address		The COSATI concept of funding ing agency as an added entry i able in AACR NA ed.
711	tg Conference, etc. Name Added Entry	11 Controlling Office Name & Address		
730	Uniform Title Added Entry	14 Monitoring Agency Name and Address 4 Title and (Subtitle)		
740	Title Traced Differently from 24-	4 Title (and Subtitle)		Unusual match.

leaning

statement for Abstract

ification for Entry

2

RATIONALE FOR CHOOSING MARC TAG

These are closely related

These may be assigned for technical reports published as trade books.

Partial matches.

Exact matches.

Since COSATI rules emphasize that the main entry is a corporate body, 700 cares for personal authors within the corporate body.

The COSATI concept of funding or monitoring agency as an added entry is acceptable in AACR NA ed.

Unusual match.

APPLICATION OF MARC TAGS AT THE TERMINAL

Input standard wording.

Input as many tags per report as needed.

Convert geographic key words to LC authorized geographic names.

Use as found on DD 1473. No authority list is required for these.

Do not use 691. Convert geographic key words to LC authorized geographic names. Use 651 0.

Input as many tags per report as needed.

Input as many tags per report as needed.

Input as many tags per report as needed. The text for this title may appear in other Boxes, such as 18 or 20.

MARC Tag	OCLC SYSTEM Meaning	Box No.	DD 1473	RATIONALE FOR CHOOSING MARC TAG
			Meaning	
800	Personal Series Added Entry Plus Title	None		
810	Corporate Series Added Entry Plus Title	None		Unusual match.
811	Conference, etc., Series Added Entry Plus Title	None		
840	Series Title Added Entry	4	Title (and Subtitle)	
910	User Option Data	t23	Accession Number	Chosen for the DCA Library Access Number, since it provides a sequential file of cards arranged by number

DD 1-73

Meaning

RATIONALE FOR CHOOSING MARC TAG

APPLICATION OF MARC TAGS AT THE TERMINAL

2

Unusual match.

If a 490 1 tag is used for a technical report as a trade publication, an 8-- tag must be used.

and Subtitle)

on Number

Chosen for the DCA Library Accession Number, since it provides a separate file of cards arranged by number.

Input one Accession Number for every title and/or every volume.

OCLC: NEW Rec stat: n Entrd: 761221 Used: 761221
Type: a Bib lvl: m Govt pub: Lang: Source: u Illus:
Repr: Enc lvl: I Conf pub: 0 Ctry: xx Dat tp: n M/F/B: 00
Idx: 0 Mod rec: Festschr: 0 Cont:
Desc: Int lvl: Dates: ,
1 010
2 040 c DFC
3 020
4 041 b
5 090 b
6 049 DFCC
7 1 d
8 24 b c
9 250
10 260 b c
11 300 b c
12 4 d
13 5
14 590
15 6
16 7 d
17 8

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